High Priority Recommendations Partially Implemented / Not Implemented

Amber priority recommendations outstanding at time of April 2018 follow-up exercise (implementation due by 30th April 2018)

Department & Audit Area	Original Target Date	Revised Target Date (pre follow-up)	New Target Date (post follow-up)	Implementation Status		Management Comment
				Not	**Partial**	
Barbican Cash Handling – Countersigning of Income Reconciliations	16/02/18	N/A	31/05/18	0	1	Internal Audit is awaiting evidence that all relevant staff have been reminded of the revised cash procedures and a revised timescale has been agreed for this action.
Chamberlain's IT PBX Fraud (Amber priority)	27/02/15	30/04/18	30/06/18	0	1	Call logger implementation has been rescheduled to June 2018; this went through the Architecture Review Group in April 2018. Earlier implementation would have meant that the Call Logger environment would have had to be moved again following virtualisation of the Telephony system which is currently in progress. In the meantime, international and premium rate numbers are blocked from desk phones, tested numerous times by Chamberlain's IT.
Remote Access – New User Access Authorisation (Amber priority)	30/05/16	31/03/18	31/05/18	0	1	Audit follow-up testing is in progress and will be complete by 31st May 2018.
Wifi – Unsupported Hardware (RED priority)	13/08/17	31/12/17	30/06/18	0	1	Internal Audit has been advised that this action related to the Guest WiFi service, which was replaced more than two years ago, with the Open Mediated WiFi service. This is separate from the Corporation's network and is managed by O2 under a contract renewed for 2 years in December 2017. The Network Transformation Programme will replace the corporate WiFi solution (currently supported by Agilisys), including hardware, software and support. The delivery date has been moved back due to issues with the supplier for the original tender pulling out of the contract at the last minute, requiring the tender process to be repeated.

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IT Asset Management – Asset Register Review (Amber priority)	31/12/17	31/03/18	31/05/18	0	1	Internal Audit has been advised that this recommendation has been implemented in full. An extract from the CMDB has not been supplied and as such audit testing has been arranged for 31st May 2018 to confirm the recommendation status.
IT SekChek – Audit Policy (Amber priority)	30/07/17	31/03/18	31/08/18	1	0	Update for both recommendations: Internal Audit has been advised that the recommendations from the audit have not yet been implemented due to the ageing infrastructure and insufficient storage space. The Transformation Programme has removed these restrictions and IT are planning to implement the recommendations by 31/08/18 following Network Transformation and the onboarding of the new LAN and WAN Support contract. Audit logs will be collected, monitored and reported against using SIEM as part of the agreed design of the new network and its security and monitoring arrangements.
IT SekChek – Audit Policy Alerts (Amber priority)	30/07/17	31/03/18	31/08/18	1	0	
City of London Police						
CoLP - Overpayment of salary - Utilisation of monthly payroll reports (Amber priority)	31/03/18	N/A	N/A	1	0	CoLP to confirm that all reports are now sent to CoLP HR. Evidence awaited by Internal Audit.
CoLP - Programme Management - Measuring Success and Benefits (RED priority)	30/04/18	N/A	31/07/18	1	0	Action still being progressed. Aim to complete by July
CoLP - Budget Monitoring - Budget Profiles - Input into Oracle R12 (Amber priority)	31/03/18	N/A	Not Confirmed	1	0	Due to the absence of the Director of Finance, this has not been progressed.
CoLP - Seized Goods -Property Storage Locations (RED priority)	31/03/18	N/A	30/09/18	1	0	Still being progressed with the Economic Crime Department.

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				Not	Partial	
CoLP - Seized Goods - Communication of Safe Insurance Values (RED priority)	31/03/18	N/A	30/06/2018	1	0	Action still being progressed. Aim to complete by June.
CoLP - Seized Goods - Spot Check of Disposals (Amber priority)	31/03/18	N/A	30/09/2018	1	0	Spot check was undertaken, which can be verified by Internal Audit, however due to staff issues further spot checks have not been undertaken and will not until staff issues are resolved.
CoLP - Seized Goods - Witness of Disposals (Amber priority)	31/03/18	N/A	Not Confirmed	1	0	Requires further explanation of changes to Standard Operating Procedures.
CoLP - Seized Goods - Packaging of Seized Cash (Amber priority)	31/03/18	N/A	Not Confirmed	1	0	Requires further explanation of changes to Standard Operating Procedures.
CoLP - Seized Goods - Property Awaiting Entry (Amber priority)	31/03/18	N/A	Not Confirmed	0	1	The NICHE system does not provide a "Property Awaiting Entry" heading and a revised solution to checking all system entries is required.
CoLP - Seized Goods - Complete Record of Property Held (RED priority)	31/03/18	N/A	N/A	1	0	A file inspection by Internal Audit to determine whether this record is up to date is required.
CoLP - Seized Goods - Accurate Property Information (Amber priority)	31/03/18	N/A	Not Confirmed	0	1	Internal Audit require evidence that this has been implemented in full i.e. a copy of the Comms Message used to update all staff to ensure that accurate property information is maintained.
CoLP - Seized Goods - Property Item Updates (Amber priority)	31/03/18	N/A	Not Confirmed	1	0	Internal Audit require evidence of implementation.
CoLP - Seized Goods - Property Procedures Manual (Amber priority)	31/03/18	N/A	Not Confirmed	1	0	Requires further explanation of changes to Standard Operating Procedures.

| Department & Audit Area | Original Target Date | Revised Target Date (pre follow-up) | New Target Date (post follow-up) | Implementation Status | | Management Comment |
				Not	Partial	
CoLP – Seized Goods – Cash Counting Policy (Amber priority)	31/03/18	N/A	Not Confirmed	1	0	Still being progressed with the Economic Crime Department.
CoLP – Seized Goods – Property Storage Locations Audit (RED priority)	31/03/18	N/A	30/06/18	1	0	This is currently not able to be undertaken due to resources within the Property Office.
City of London School for Girls						
ICT Strategy, Security & Operations - Disaster Recovery Testing (Amber priority)	11/12/15	31/01/18	30/06/18	0	1	Internal Audit has been advised that changes to the way DR is dealt with in the City of London (with the re-siting of the DR centre away from Guildhall) has forced a rebuild of the School's DR systems. The majority of its data is now stored in the cloud. New firewalls have been installed as part of a refresh of the network systems at the School. As part of this work the DR capabilities are being mapped which will allow a thorough DR walk through to take place. There are a couple of servers still in Guildhall that are critical to the School's system stability and the School has been asked to get these off-line by the end of May. As part of the switch over to cloud storage, the School needs to test that this has worked and that data is still accessible from multiple devices. This work is scheduled to take place before the end of June 2018.
ICT Strategy, Security & Operations – Penetration Testing (Amber priority)	01/12/15	28/02/18	31/05/18	1	0	Internal Audit has been advised that the City of London Police's planned penetration testing in February 2018 had to be cancelled following an IT issue which knocked out 90% of the School's IT systems following a Windows Security upgrade. The testing has been rescheduled for May 2018.
City Surveyor Building Services Engineering - BMS Configuration (Amber priority)	31/12/11	30/04/18	30/09/18	0	1	Internal Audit has been advised that Schneider, Chamberlain's IT and the City Surveyor's Department have completed workshops to work out how best to meet the Code of Connection Criteria for security.

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						The agreed solution was segregation of the BMS communication network from the main corporate IS network. The necessary work has now been identified, agreed and specified and an order placed with Schneider to implement it.
Community & Children's Services Libraries – Identifying Stock for Disposal (Amber priority)	31/12/16	N/A	31/05/18	0	1	Internal Audit has been advised that the priority was to implement reports for CIPFA. This was followed by implementing Weeding and other Performance reports, in order to identify and remove under performing stock. These actions resulted in increasing the visibility of the more desirable stock and improving the user experience. A programme to remove stock in poor condition due to over use, is to be implemented by the end of May 2018.
Guildhall School of Music & Drama Strategic Information Technology Services – Daily Backups (Amber priority)	31/08/15	Not supplied	TBC	0	1	A revised target date has yet to be agreed for full implementation of daily back-ups, proposed to address the risk arising from close proximity of the live and Disaster Recovery sites.
Succession Planning, Talent Management & Staff Development – Workforce Plan (Amber priority)	30/04/18	N/A	TBC	1	0	Internal Audit has been advised that a Workforce Plan is to be developed in line with the new Strategic Plan; timescale to be confirmed.
Markets & Consumer Protection Seized Goods – Records of Disposal (Amber priority)	30/03/18	N/A	N/A	0	1	Disposals procedures cannot be tested in practice until such time as there are disposals.
Open Spaces Lodges - Mole Valley Contract: Review of Need (Amber priority)	30/12/16	31/03/18	30/09/18	1	0	Due to the change in Open Spaces Department Business Manager this recommendation to review the arrangements for 'out of hours calls' has not been progressed. A revised target date for implementation has been agreed.
TOTAL				**18**	**12**	